

Substitute for form 1449B/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Application Number	09/736,617
Filing Date	December 13, 2000
First Named Inventor	Makofka, Douglas S.
Art Unit	2131
Examiner Name	
Attorney Docket Number	018926-004400US

**U.S. PATENT DOCUMENTS**

Examiner	Cite No. ¹	Document Number Number Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
<i>JP1</i>	AA	US-6,185,678 B1	02-06-2001	Arbaugh, et al.	
	AB	US-			
	AC	US-			
	AD	US-			
	AE	US-			
	AF	US-			
	AG	US-			
	AH	US-			
	AI	US-			
	AJ	US-			

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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
<i>JP1</i>	AK	EP	0 601 500	A1	06-15-1994	Testdrive Corporation		
	AL	WO	97/25798	A1	07-17-1997	The Mitre Corporation		
	AM							
	AN							
	AO							

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	AP		
	AQ		
	AR		
	AS		

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Signature

Jason Salce

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DE 7079789 v1



FORM PTO-1449 (Modified)		Attorney Docket No.: 18926-004400US		Application No.: 09/736,617		
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		Applicant: Douglas S. Makofka, et al.				
		Filing Date: December 13, 2000		Group: Unassigned		
Reference Designation		U.S. PATENT DOCUMENTS				Page 1
Examiner Initial	Document No.	Date	Name	Class	Sub-class	Filing Date (If Appropriate)
<u>AA</u>	5,844,986	12/1/98	Davis	380	4	
<u>AB</u>	5,912,972	6/15/99	Barton	380	23	
<u>AC</u>	5,982,891	11/1999	Ginter et al.	380	4	
FOREIGN PATENT DOCUMENTS						
	Document No.	Date	Country	Class	Sub-class	Translation (Yes/No)
<u>AD</u>	EP 0 752 786 A1	08.01.1997	EPO	H04N	7/167	
<u>AE</u>	EP 0 909 094 A1	14/-/1999	EPO	H04N	7/173	
<u>AF</u>	EP 0 946 019 A1	29.09.1999	EPO	H04L	9/32	
<u>AG</u>	WO 98/55910	10.12.98	WIPO	G06F		
<u>AH</u>	WO 99/30217	17.06.99	WIPO	G06F	1/00	
<u>AI</u>	WO 99/39504	05.08.99	WIPO	H04N	7/167	
<u>AJ</u>	WO 00/04727	27.01.00	WIPO	H04N	7/24	
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)						
<u>AK</u>	Olin Sibert et al., "DigiBox: A Self-Protecting Container for Information Commerce," Proceedings of the First USENIX Workshop on Electronic Commerce, New York, July 1995.					
<u>AL</u>	InterTrust Technologies Corporation, "A Piece of the Tick. Supporting the Commercial Redistribution of Electronic Information through Value Chains," October 1998.					
<u>AM</u>	"Digital Consumer Electronics Handbook," McGraw-Hill, 1997, pp. 17.18-17.25.					
<u>AN</u>	"SentinelSuperPro," Rainbow Technologies. Retrieved from the Internet: http://sentinel.rainbow.com , pp. 1-2.					
<u>AO</u>	"iKey," Rainbow Technologies. Retrieved from the Internet: http://ikey.rainbow.com , pp. 1-2.					
<u>AP</u>	Monica Pawlan et al., "Signed Applets, Browsers, and File Access." Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/Signed/index.html , April 1998.					
<u>AQ</u>	Monica Pawlan, "Cryptography: The Ancient Art of Secret Messages." Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/Crypto/index.html , Feb. 1998.					
<u>AR</u>	Monica Pawlan, "Is the Only Really Secure Computer a Disconnected Computer?" Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/ReallySecure/index.html , Jan. 1998.					
<u>AS</u>	Microsoft Corporation, "Microsoft Authenticode Technology. Ensuring Accountability and Authenticity for Software Components on the Internet," Redmond, VA, Oct. 1996.					
<u>AT</u>	"Modern Cable Television Technology: Video, Voice, and Data Communications," Morgan Kaufmann Publishers, Inc., San Francisco, CA, 1999, pp. 743-751.					
<u>AU</u>	Dan S. Wallach et al., "Extensible Security Architectures for Java," BNS Document ID XP-002101681, 1997, pp. 1-26.					
<u>AV</u>	Charles Crichton et al., "When to trust mobile objects: access control in the Jini™ Software System," BNS Document ID XP-002155686, 1999. pp. 116-125.					
<u>AW</u>	"Building a Foundation of Trust in the PC," The Trusted Computing Platform Alliance, pp. 1-7 January 2000.					
EXAMINER <u>Jason Salce</u>		DATE CONSIDERED <u>9-8-04</u>				

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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		Filing Date: December 13, 2000		Group: Unassigned	
Reference Designation		U.S. PATENT DOCUMENTS			
Examiner Initial	Document No.	Date	Name	Class	Filing Date (If Appropriate)
AA	5,005,200	4/1991	Fischer	380	30
Reference Designation		FOREIGN PATENT DOCUMENTS			
Document No.	Date	Country	Class	Sub-class	Translation (Yes/No)
AB	EP 0 914 001 A1	06.05.1999	EPO	H04N	7/16
AC	EP 0 936 813 A1	18.08.1999	EPO	H04N	7/00
AD	WO 98/56180	10.12.98	WIPO	H04N	7/167
AE	WO 99/09743	25.02.99	WIPO	H04N	7/167
AF	WO 99/53624	21.10.99	WIPO	H04B	1/69
AG	FR 2 768 004	5.3.1999	France	H04N	7/167
EXAMINER: Jason Salce					
DATE CONSIDERED: 9-8-04					

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 2

Complete if Known

Application Number	09/736,617
Filing Date	December 13, 2000
First Named Inventor	Makofka, Douglas S.
Group Art Unit	2131
Examiner Name	
Attorney Docket Number	018926-004400US

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
JG	AA	5,933,498		Schneck, et al.	08-03-1999	
	AB	6,314,409	B2	Schneck, et al.	11-06-2001	
	AC					
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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	AU							
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	AZ							
	BA							

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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 2

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First Named Inventor	Makofka, Douglas S.
Group Art Unit	2131
Examiner Name	
Attorney Docket Number	018926-004400US

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
<i>JS</i>	BC	SCHNECK, PAUL B., <i>Persistent Access Control to Prevent Piracy of Digital Information</i> , Proceedings of the IEEE, Vol. 87, No. 7, July 1999, pp. 1239-1250.	
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Page 1 of 1

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Application Number	09/736,617
Filing Date	December 13, 2000
First Named Inventor	Makofka, Douglas S., et. al.
Art Unit	2131
Examiner Name	Unassigned
Attorney Docket Number	018926-004400US

U.S. PATENT DOCUMENTS

Examiner	Cite No. ¹	Document Number Number Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	AA	US-5,420,866	05-30-1995	Wasilewski	
	AB	US-5,978,649	11-02-1999	Kahn	
	AC	US-			
	AD	US-			
	AE	US-			
	AF	US-			
	AG	US-			
	AH	US-			
	AI	US-			
	AJ	US-			

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Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
	AK	EP 0 964 573 A1	12-15-1999	Thomson Multimedia		<input type="checkbox"/>
	AL					<input type="checkbox"/>
	AM					<input type="checkbox"/>
	AN					<input type="checkbox"/>
	AO					<input type="checkbox"/>

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	AP	OKOTH I., et al., DVB: Common Interface als ideale interactive Multimedia-Umgebung, Fernseh Und Kinotechnik, VDE Verlag Gmbh, Berlin, DE, Vol. 51, No. 12, 1997, pp. 854-856.	
	AQ	Functional Model of a Conditional Access System, EBU Review - Technical, European Broadcasting Union, Brussels, BE, No. 266, 21 December 1998, pp. 64-77.	
	AR	GIACHETTI, J.L., et al., A Common Conditional Access Interface for Digital Video Broadcasting Decoders, IEEE Transactions on Consumer Electronics, IEEE Inc. New York, US, Vol. 41, No. 3, 1 August 1995, pp. 836-841.	

Examiner Signature	Jason Salce	Date Considered	9-8-04
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